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# Performance and Analysis Studies: An Overview and Bibliography

Ryan McClelland

THE GREATEST CHALLENGE in compiling a bibliography is defining its scope, and in no field is this quandary more acute than in performance and analysis studies. As someone who is professionally active both as a music theorist and a pianist, I find the line between analysis and performance rather fuzzy. Even if an analyst writes nothing about performance, reading that analysis and internalizing the corresponding hearing will impact some aspects of performance. It is difficult to imagine a genuinely satisfying analysis of a composition that would in no way inform one's subsequent performance of that piece, and most analysts would concede that their writings shape more than our understanding and aesthetic appreciation of musical works.

Notwithstanding this belief, I provide below a bibliography of analytic studies that are explicitly, substantially, and self-consciously concerned with performance issues. A large portion—likely the majority—of analysis and performance studies are D.M.A. documents and short articles published in journals and magazines dedicated to performance. I have entirely excluded these sources because of their quantity, variety, and specificity. Most of these writings make analytic observations and performance observations on specific compositions without conscious reflection on the nature of the relationship between analysis and performance; their concerns are tied to individual composers and pieces. Many of these documents also intertwine historical considerations, and performance practice is quite a separate endeavor from performance and analysis studies. The bibliography below lists English-language writings that pose questions about or offer general models for analysis and performance studies. As a result, the bibliography is heavily biased towards authors who are primarily theorists.

The bibliography only includes sources that examine recorded performances from the perspective of music theory. Most studies of recordings have either scientific or historical orientations. With technologies to measure aspects of performance such as subtle variations in timing and loudness, researchers including Eric Clarke, Alf Gabrielsson, Bruno Repp, and John Sloboda have done significant work in quantifying and comparing features of individual per-

formances as well as gauging listener response.<sup>1</sup> Not only are the concerns of researchers in music psychology and cognitive science different from those of music theorists, but the fact that performers with a relatively similar understanding of a musical structure can project that structure through different means complicates the direct application of experimental work into analysis and performance studies. Scholars such as Robert Philip and José A. Bowen have used recordings to discover changes in general performance style and in hermeneutic understanding of individual pieces.<sup>2</sup> Music theorists have accorded recordings less attention; among the sources in the bibliography below, only articles by Nicholas Cook, Joel Lester, and Eugene Narmour focus substantially on the analysis of recorded performances.<sup>3</sup> More often analytical articles only mention recordings tangentially as concrete instantiations of interpretations proposed by the author.<sup>4</sup>

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<sup>1</sup>For an overview of all types of psychological and cognitive research in musical performance, see Alf Gabrielsson's survey of the 1995–2002 literature, "Music Performance Research at the Millennium," *Psychology of Music* 31, no. 3 (2003): 221–72, and his survey of the pre-1995 literature, "The Performance of Music," in *The Psychology of Music*, ed. Diana Deutsch (San Diego: Academic, 1999), 501–602.

<sup>2</sup>For an overview of historical perspectives on recordings, see José A. Bowen, "Finding the Music in Musicology," in *Rethinking Music*, ed. Nicholas Cook and Mark Everist (Oxford: Oxford University Press, 1999), 424–51. Bowen has also produced a Bibliography of Performance Analysis (last updated July 2001), which is accessible at <http://www.georgetown.edu/departments/AMT/music/bowen/Perf-Biblio.html>. Bowen's bibliography is much broader in scope than mine; he emphasizes studies of recordings but also includes scientific studies, writings on historical performance practice, and the main writings on performance by music theorists.

<sup>3</sup>Nicholas Cook, "The Conductor and the Theorist: Furtwängler, Schenker and the First Movement of Beethoven's Ninth Symphony," in *The Practice of Performance: Studies in Musical Interpretation*, ed. John Rink (Cambridge: Cambridge University Press, 1995), 105–25; Joel Lester, "Performance and Analysis: Interaction and Interpretation," in *The Practice of Performance*, 197–216; and Eugene Narmour, "On the Relationship of Analytical Theory to Performance and Interpretation," in *Explorations in Music, the Arts, and Ideas: Essays in Honor of Leonard B. Meyer*, ed. Eugene Narmour and Ruth Solie (Stuyvesant, N.Y.: Pendragon, 1988), 317–40. Each author employs recordings for significantly different purposes: Narmour generates an analysis that is used prescriptively as a tool to evaluate performances, Cook takes Furtwängler's recording of Beethoven's Ninth to demonstrate similarities to Schenker's analysis, and Lester shows that statements presented as fact by analysts may contradict interpretations of celebrated recorded performances.

<sup>4</sup>See, for example, the articles by Janet Levy and David Epstein in *The Practice of Performance*.

Having spent most of this overview explaining what the bibliography does *not* contain, I will make a few comments on the sources that *are* included and on the development of the field of performance and analysis studies. Music analysts at the start of the twentieth century, such as Hugo Riemann and Heinrich Schenker, routinely made recommendations for performance. Only with the emergence of music theory as a distinct discipline in the middle of the century did the foremost analysts shift away from addressing performance issues. Seminal in the rebirth of performance and analysis studies was the work of Edward T. Cone, especially his 1968 book *Musical Form and Musical Performance*. Although the book's claims about performance were few in number—principally that music is “basically rhythmic” and that “valid performance depends primarily on the perception and communication of the rhythmic life of a composition”—Cone's conception of the relationship between analysis and performance was echoed by many.<sup>5</sup> For Cone, analysis comes first, and the performer's task is to communicate that analytic understanding to the listener. The other book devoted to analysis and performance, Wallace Berry's 1989 *Musical Structure and Performance*, has a similar orientation, although Berry often comes across as entirely dismissive of performers' intuitions.<sup>6</sup> As Steve Larson and Cynthia Folio observe in one of the many reviews of Berry's book, Berry sets up a dichotomy between analysis and intuition rather than viewing rationalism and intuition as extremities on a continuum of modes of understanding and accepting that analysis (not just performance) has an intuitive as well as a rational component.<sup>7</sup>

Although many of the articles in the bibliography maintain this view of performance as a conveyor of analytic truth, I will highlight a few that offer other orientations. One of the earliest of these is Janet Schmalfeldt's 1985 study of two bagatelles from Beethoven's op. 126.<sup>8</sup> Schmalfeldt formats her article as a dialogue between performer and analyst to emphasize that each has different,

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<sup>5</sup>Edward T. Cone, *Musical Form and Musical Performance* (New York: W. W. Norton, 1968), 25, 38.

<sup>6</sup>Wallace Berry, *Musical Structure and Performance* (New Haven: Yale University Press, 1989). Page 217 has a particularly strong statement against intuition: “The purely spontaneous, unknowing and unquestioned impulse is not enough to inspire convincing performance, and surely not enough to resolve the uncertainties with which the performer is so often faced.”

<sup>7</sup>Steve Larson and Cynthia Folio, review of *Musical Structure and Performance*, by Wallace Berry, *Journal of Music Theory* 35, no. 2 (1991): 301. Other thoughtful reviews of Berry's book have been written by Joel Lester in *Music Theory Spectrum* 14, no. 1 (1992): 75–81 and by John Rink in *Music Analysis* 9, no. 3 (1990): 319–39.

<sup>8</sup>Janet Schmalfeldt, “On the Relation of Analysis to Performance: Beethoven's Bagatelles Op. 126, Nos. 2 and 5,” *Journal of Music Theory* 29, no. 1 (1985): 1–31.

though overlapping, concerns and modes of thinking. Many subsequent writers have criticized Schmalfeldt's dialogue as imbalanced with the analyst-persona in the dominant role.<sup>9</sup> Nevertheless, the analyst-persona chooses to present her findings in a way particularly conducive to a performer—as elements in a dramatic process.

Like Schmalfeldt, William Rothstein invokes drama in a 1995 article, but his motivation is to suggest an analogy between a musical performer and an actor. Instead of the one-to-one mapping of analytic observation and performance intervention in Berry, Rothstein questions whether performers should project all analytic knowledge:

It is one thing to be convinced that something is true analytically, quite another to decide how—even whether—to disclose such information to one's listeners in a performance. Sometimes . . . it is better for the performer to suggest something which is "false"—or more precisely, something which is "true" only from a certain, partial vantage point—than to spell out everything one knows. In that way, the performer adopts temporarily the viewpoint of one or two characters in the drama, so to speak, rather than assuming omniscience at every moment. Dramatic truth and analytical truth are not the same thing; a performance is not an *explication du texte*.<sup>10</sup>

Joel Lester similarly contends that not all "analytical findings need be projectable or indeed projected. . . . Certain structural issues may be highlighted; others are clearly best left for quiet reflection."<sup>11</sup> Recent writers tend to be more aware of the potential for didactic performances when analysis extends too completely into performance preparation.

Schmalfeldt, Rothstein, Lester, and most of the other writers cited in the bibliography draw on established analytic approaches, especially Schenkerian analysis. Many adopt, and even stress the importance of, a multivalent approach to analysis. Analytic articles often emphasize one musical parameter or one methodological approach, but writers intent on drawing connections to performance recognize the synthetic role incumbent on the performer and accordingly take a holistic approach to the music, employing an array of analytic methods.

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<sup>9</sup>See, for example, Nicholas Cook, "Analysing Performance and Performing Analysis," in *Rethinking Music*, 246.

<sup>10</sup>William Rothstein, "Analysis and the Act of Performance," in *The Practice of Performance*, 238.

<sup>11</sup>Lester, "Performance and Analysis: Interaction and Interpretation," 210.

Although John Rink has written extensively on the music of Chopin from a Schenkerian perspective, many of his recent writings have developed new analytic representations specifically conceived for their connection to a performer's concerns. Rink claims that the performer "translates" the score into a narrative by "the creation of a unifying thread, a *grande ligne* linking the constituent parts of a performance into a rhythmically activated synthesis. . . . The performer engages in a continual dialogue between the comprehensive architecture and the 'here-and-now,' between some sort of goal-directed impulse at the uppermost hierarchical level . . . and subsidiary motions extending down to the beat or sub-beat level."<sup>12</sup> As a means of visualizing this translation, Rink constructs an intensity curve—"a graphic representation of the music's ebb and flow . . . determined by all active elements."<sup>13</sup> Rink does not formalize a process for generating such a curve nor does he explain how a performer might use the information it embodies. Rather, he seems to suggest that the act of constructing such a curve is a useful heuristic that will draw the performer into closer contact with the score and hence shape interpretive choices. In another writing, Rink demonstrates graphs of tempo fluctuation, dynamic change, and registral contour as well as rhythmic reductions that clarify phrase structure.<sup>14</sup>

While Rink's representations at times seem oversimplified and not fully theorized, they point to the possibility of performance studies inspiring new analytical tools. Some current work takes performance as a factor in the creation of theories of musical structure; one example is Alan Dodson's extensions of Fred Lerdahl and Ray Jackendoff's model of hypermeter.<sup>15</sup> Dodson proposes a new category of accent that accounts for performance nuances that tip the balance to a particular hypermeter where the score suggests two or more plausible hypermetric interpretations. Cook goes a step further, suggesting that theoretical discourse would gain from acknowledgement of the performative aspects of theory.<sup>16</sup> These contentions build upon two related articles in which Cook

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<sup>12</sup>John Rink, "Translating Musical Meaning: The Nineteenth-Century Performer as Narrator," in *Rethinking Music*, 218.

<sup>13</sup>*Ibid.*, 234.

<sup>14</sup>John Rink, "Analysis and (or?) Performance," in *Musical Performance: A Guide to Understanding*, ed. John Rink (Cambridge: Cambridge University Press, 2002), 42–55.

<sup>15</sup>Alan Dodson, "Performance and Hypermetric Transformation: An Extension of the Lerdahl-Jackendoff Theory," *Music Theory Online* 8, no. 1 (2002); Fred Lerdahl and Ray Jackendoff, *A Generative Theory of Tonal Music* (Cambridge: MIT Press, 1983).

<sup>16</sup>Nicholas Cook, "Between Process and Product: Music and/as Performance." *Music Theory Online* 7, no. 2 (2001).



thoroughly scrutinizes the literature on the relationship between analysis and performance for its underlying assumptions.<sup>17</sup>

The explosion of analysis and performance studies within the past two decades has brought performance concerns into the mainstream of music theory. Perhaps no better testament to this is the diversity of recent writings that incorporate performance considerations. Two examples among many are Harald Krebs's study of metric dissonance in Schumann and Christopher Hasty's reconceptualization of meter as rhythm.<sup>18</sup> Krebs devotes an entire chapter of his book to thoughts on projecting metric dissonance in performance and even suggests practice strategies.<sup>19</sup> Much of Hasty's book is detailed theoretical exposition, but the analyses in later chapters suggest how different projective interpretations translate into different performances.<sup>20</sup> These examples recall the disclaimer at the start of this article, but I trust the bibliography below will provide productive points of departure for exploring the relationships among theory, analysis, and performance.

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<sup>17</sup>Nicholas Cook, "Analysing Performance and Performing Analysis," in *Rethinking Music*, 239–61, and idem, "Words about Music, or Analysis versus Performance," in *Theory into Practice: Composition, Performance, and the Listening Experience*, ed. Peter DeJans and Frank Agsteribbe (Leuven: Leuven University Press, 1999), 9–52. These two articles are the most thorough and thoughtful surveys of the performance and analysis literature available.

<sup>18</sup>Harald Krebs, *Fantasy Pieces: Metrical Dissonance in the Music of Robert Schumann* (New York: Oxford University Press, 1999); Christopher Hasty, *Meter as Rhythm* (New York: Oxford University Press, 1997).

<sup>19</sup>Krebs, *Fantasy Pieces*, 177–86.

<sup>20</sup>Particularly valuable is Hasty's commentary on two sarabandes from J. S. Bach's cello suites (154–67).

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